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United Nations Environment Assembly of the United Nations Environment Programme

**United Nations Environment Assembly of the United Nations Environment Programme**
**First session**
Nairobi, 23–27 June 2014
Items 6 and 7 of the provisional agenda*

**Follow-up to and implementation of the outcomes of United Nations summits, in particular the United Nations Conference on Sustainable Development, and major intergovernmental meetings of relevance to the United Nations Environment Assembly**

**Budget and programme of work for the biennium 2016–2017 and the Environment Fund and other budgetary matters**

# Information supplementary to the report of the Executive Director on amendments to the Instrument for the Establishment of the Restructured Global Environment Facility

## Note by the secretariat

The annexes to the present note contain the following supplemental information in support of the report of the Executive Director on amendments to the Instrument for the Establishment of the Restructured Global Environment Facility (UNEP/EA.1/9): a joint summary of the Chairs of the forty-fifth Meeting of the Council of the Global Environment Facility (GEF) (see annex I); proposed amendments to the Instrument (see annexes II-IV); the Chair's summary of the Fifth GEF Assembly (see annex V); and correspondence from the Chief Executive Officer and Chair of GEF addressed to the Executive Director of the United Nations Environment Programme (see annex VI). The annexes are reproduced as submitted, without formal editing.

* UNEP/EA.1/1.

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# Annex I

## Joint summary of the Chairs of the forty-fifth meeting of the Council of the Global Environment Facility

**JOINT SUMMARY OF THE CHAIRS**
**45TH GEF COUNCIL MEETING**
**NOVEMBER 5 – 7, 2013**

November 7, 2013

### DECISIONS APPROVED

*Decision on Agenda Item 6 Progress Report of the GEF Evaluation Office Director, including the OPS5 Progress Report and Management Response*

13. The Council, having reviewed document GEF/ME/C.45/03 Rev.01, *"Progress Report of the GEF Evaluation Office Director, including the OPS5 Progress Report," and GEF/ME/C.45/08, "Management Response to the Progress Report of the GEF Evaluation Office Director, including the OPS5 Progress Report,"* takes note of the on-going work of the Office and the progress report on the Fifth Overall Performance Study of the GEF, as well as the upcoming peer review and the international trends on independence of evaluation. The Council approves the name change of the Office to GEF Independent Evaluation Office (GEFIEO).

14. The Council requests the Secretariat and the Evaluation Office to prepare a proposal for amendment of the Instrument to include the Independent Evaluation Office, to be approved by Council before the Assembly in 2014.

*Decision on Agenda Item 13 Amendments to the Instrument*

24. The Council requests the Secretariat to submit a draft decision by January 15, 2014, for consideration and decision by mail, on amendments to the Instrument to be recommended to the Fifth Assembly, including but not limited to the Minamata Convention on Mercury.

## Annex II

# Document of the Council of the Global Environment Facility on proposed amendments to the Instrument

GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

GEF/C.45/11.Rev.02
February 19, 2014

GEF Council Meeting
November 5 – 7, 2013
Washington, D.C.

Agenda Item 13

## AMENDMENTS TO THE INSTRUMENT

**Recommended Council Decision**

The Council, having noted the adoption of the Minamata Convention on Mercury and of Resolution 2 on Financial Arrangements by the Diplomatic Conference, and having considered document GEF/C.45/11, *Amendments to the Instrument*, decided to recommend to the Assembly the following amendments to the Instrument:

To delete current paragraph 6 and replace it with a new paragraph 6 that would read:

*6. In partial fulfillment of its purposes, the GEF shall:*

*(a) Operate the financial mechanism for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC), on an interim basis, in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall also be available to meet the agreed full costs of activities described in Article 12, paragraph 1, of the UNFCCC. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the UNFCCC if it is requested to do so by the Conference of the Parties pursuant to its Article 11, paragraph 4. In such respects, the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria related to the UNFCCC pursuant to its Article 11, paragraph 1;*

*(b) Be, on an interim basis, the institutional structure which carries out the operation of the financial mechanism for the implementation of the Convention on Biological Diversity (CBD), in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the CBD if it is requested to do so by the Conference of the Parties pursuant to its Article 21, paragraph 3. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria for the purposes of the CBD pursuant to its Article 21, paragraph 1;*

*(c) Be available to serve as an entity entrusted with the operation of the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, strategy, program priorities and eligibility criteria for the purposes of this Convention pursuant to its Article 13, paragraph 7(a);*

*(d) Be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2 (b),*

*and Article 21 of the UNCCD. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa; and*

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

**To delete sub-paragraphs (e) and (f) of paragraph 2 of the Instrument and replace them with a new sub-paragraph (e) that would read:**

*(e) chemicals and waste.*

**To delete sub-paragraph (b) of Paragraph 9 and replace it with a new sub-paragraph (b) that would read:**

*(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to receive World Bank (IBRD and/or IDA) financing or if it is an eligible recipient of UNDP technical assistance through its target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2). GEF grants for activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the financial mechanism of the convention, shall only be made available to eligible recipient countries that are party to the convention concerned.*

**To delete paragraph 11 and replace it with a new paragraph 11 that would read:**

*11. The GEF shall have an Assembly, a Council, and a Secretariat including an independent evaluation office. In accordance with paragraph 24, a Scientific and Technical Advisory Panel (STAP) shall provide appropriate advice.*

**To expand paragraph 21 to include the IEO in a new sub-paragraph (i) that would read:**

*21. (i) there shall be an independent evaluation office headed by a director, appointed by and reporting to the Council, whose responsibility it is to carry out independent evaluations consistent with decisions of the Council; and*

**The current sub-paragraph (i) would become a new-subparagraph (j) that would read:**

*(j) perform any other functions assigned to the Secretariat by the Council.*

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## INTRODUCTION

1. According to paragraph 34 of the GEF Instrument, an amendment to the Instrument "may be approved by consensus by the Assembly upon the recommendation of the Council, after taking into account the views of the Implementing Agencies and the Trustee, and shall become effective after adoption by the Implementing Agencies and the Trustee in accordance with their respective rules and procedural requirements." This document details the proposed amendments being recommended to the GEF Council for recommendation to the Fifth GEF Assembly.

**Amendment to paragraph 6 of the Instrument - The GEF as Financial mechanism of the Minamata Convention on Mercury**

2. At its 44th Meeting, the Council decided that," having reviewed document GEF/C.44/04, Preparing the GEF to serve as the Financial Mechanism of the Minamata Convention on Mercury upon entry into force,

*Welcomed with appreciation the invitation from the Intergovernmental Negotiating Committee to Prepare a Global Legally Binding Instrument on Mercury to the GEF, to be the key element of the Financial Mechanism of the Minamata Convention on Mercury as drafted in Article 13 of the agreed text of the Convention, which will be submitted for adoption and opened for signature in Kumamoto and Minamata, Japan in October 2013.*

*Authorized the use of up to $10 million for the funding of an early action pre-ratification program for the Minamata Convention to be programed during the remainder of GEF-5, upon request by eligible signatory countries.*

*Requested the GEF Secretariat to develop initial guidelines consistent with the final resolutions of the diplomatic Conference for enabling activities and pre-ratification projects, in consultation with the interim Secretariat of the Minamata Convention, and present this as an information document at the 45th Council Meeting.*

3. Article 13 of the Minamata Convention on Mercury includes the following paragraphs:

*Par. 5:A Mechanism for the provision of adequate, predictable, and timely financial resources is hereby defined. The Mechanism is to support developing country Parties and Parties with economies in transition in implementing their obligations under this Convention.*

Par. 6: *The Mechanism shall include:*

*(a) The Global Environment Facility Trust Fund; and*
*(b) A specific international Programme to support capacity-building and technical assistance.*

Par. 7: *The Global Environment Facility Trust Fund shall provide new, predictable, adequate and timely financial resources to meet costs in*

*support of implementation of this Convention as agreed by the Conference of the Parties. For the purposes of this Convention, the Global Environment Facility Trust Fund shall be operated under the guidance of and be accountable to the Conference of the Parties. The Conference of the Parties shall provide guidance on overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources. In addition, the Conference of the Parties shall provide guidance on an indicative list of categories of activities that could receive support from the Global Environment Facility Trust Fund. The Global Environment Facility Trust Fund shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.*

*Par. 8: In providing resources for an activity, the Global Environment Facility Trust Fund should take into account the potential mercury reductions of a proposed activity relative to its costs.*

*Par. 10: The Conference of the Parties and the entities comprising the Mechanism shall agree upon, at the first meeting of the Conference of the Parties, arrangements to give effect to the above paragraphs.*

4. By way of background, the Instrument was amended in 2002 when the GEF Assembly agreed to include the Stockholm Convention on Persistent Organic Pollutants in paragraph 6 of the Instrument, and added Land Degradation and Persistent Organic Pollutants to the GEFs four original focal areas (biological diversity, climate change, international waters and ozone layer depletion)

5. In 2010, the Instrument was amended by the Assembly to add sub-paragraph (b) in paragraph 6 which states:

*(b) The GEF shall be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2(b), and Article 21 of the Convention. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa.*

6. As noted above, the Minamata Convention on Mercury establishes a Mechanism for the provision of financial resources. The Mechanism will be comprised of two entities, one of them being the Global Environment Facility Trust Fund. (Article 13, paragraph 6 of the Convention).

7. The Diplomatic Conference that adopted the Minamata Convention on Mercury, October 9 to 11, 2013 in Japan, also adopted a Resolution 2 on Financial Arrangements that:

Invites the Council of the GEF to give effect to the inclusion of the GEF Trust Fund as part of the financial mechanism of the Minamata Convention and to recommend to the

Assembly of the GEF, as a matter of urgency, that it makes any adjustments to the Instrument for the Establishment of the Restructured Global Environment Facility that are necessary to allow it to fulfill its role in the financial mechanism.

8. In response to this invitation and to the formal adoption of the Convention by the Diplomatic Conference, the proposed amendment to add a new sub-paragraph (e) to paragraph 6 of the GEF Instrument is as follows:

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

**Further Amendments to Paragraph 6 of the Instrument**

9. The preceding proposal provides the opportunity to further amend Paragraph 6 of the Instrument in order to clarify GEF responsibilities under each of the conventions it serves in an orderly fashion. Therefore, it is proposed that the existing paragraph 6 be deleted and replaced by the following new paragraph 6:

*6. In partial fulfillment of its purposes, the GEF shall:*

*(a) Operate the financial mechanism for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC), on an interim basis, in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall also be available to meet the agreed full costs of activities described in Article 12, paragraph 1, of the UNFCCC. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the UNFCCC if it is requested to do so by the Conference of the Parties pursuant to its Article 11, paragraph 4. In such respects, the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria related to the UNFCCC pursuant to its Article 11, paragraph 1;*

*(b) Be, on an interim basis, the institutional structure which carries out the operation of the financial mechanism for the implementation of the Convention on Biological Diversity (CBD), in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the CBD if it is requested to do so by the Conference of the Parties*

*pursuant to its Article 21, paragraph 3. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria for the purposes of the CBD pursuant to its Article 21, paragraph 1;*

*(c) Be available to serve as an entity entrusted with the operation of the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, strategy, program priorities and eligibility criteria for the purposes of this Convention pursuant to its Article 13, paragraph 7(a);*

*(d) Be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2 (b), and Article 21 of the UNCCD. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa; and*

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

**Amendment to paragraph 2 of the Instrument**

10. The GEF Instrument, in paragraph 2, separately identifies Persistent Organic Pollutants (POPs) and Ozone Depleting Substances (ODS) as two focal areas. These focal areas sufficed up to the end of GEF 4 where only POPs and ODS programs and projects were funded by the GEF.

11. In GEF 5 with the advancement of the negotiations towards a global instrument on Mercury and the emergence of chemical issues of global concern covered by the Strategic Approach to International Chemicals Management (SAICM), the GEF Council approved a GEF 5 chemicals strategy that broadened the scope of the issues covered by the POPs focal area.

12. A number of external drivers also add justification to the creation of a new focal area which better responds to the demands on the GEF in regard to chemicals and waste.

13. A consultative process on financing options for chemicals and waste was launched by the UNEP Executive Director at COP 4 of the Stockholm Convention. After the consultation, the Executive Director presented an integrated approach that was adopted by the 27th UNEP Governing Council (decision 27/12) in February 2013. The decision also invites the GEF in the context of the 6th replenishment process to revise its focal area structure and strategy in order to address the chemicals and wastes agenda, and consider ways of further strengthening its relations with the conventions it serves as a financial mechanism.

14. In September, 2012, the 3rd International Conference on Chemicals Management (ICCM 3) invited the GEF in the process of the 6th replenishment to consider the priorities and activities identified in the Strategic Approach to International Chemicals Management (SAICM) in support of the achievement of its objectives.

15. It is therefore recommended that sub-paragraph (e) and (f) of paragraph 2 of the Instrument be deleted and replaced by a new sub-paragraph (e) that would read:

*(e) chemicals and waste.*

16. As a result, the new list of focal areas in paragraph 2 would read as follows:

(a) biological diversity;

(b) climate change;

(c) international waters;

(d) land degradation, primarily desertification and deforestation; and

(e) chemicals and waste.

**Amendment to paragraph 9 of the Instrument**

17. Paragraph 9 (b) of the Instrument refers to Eligibility and reads as follows:

*(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to borrow from the World Bank (IBRD and/or IDA) or if it is an eligible recipient of UNDP technical assistance through its country Indicative Planning Figure (IPF). GEF grants for activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the financial mechanism of the convention, shall only be made available to eligible recipient countries that are party to the convention concerned.*

18. When referring to a country being an eligible recipient of UNDP technical assistance, the Instrument refers to the "country Indicative Planning Figure (IPF)". In its decision 95/23[1] on the 1997-1999 successor programming arrangements, the Executive Board of UNDP introduced "a new, more flexible three-tier target for resource assignments from the core [TRAC] scheme for the allocation of resources to the country level, which replaced the IPF scheme.

19. UNDP regular resource allocations for country-level program activities are made within the framework of targets for resource assignments from the core (known as 'TRACs'). The TRAC is a three-tiered system in which TRAC-1 and TRAC-2 resources are linked in a combined pool, while TRAC-3 resources are made available through a separate pool. TRAC allocations form the financial foundation for the UNDP programmatic presence on the ground. 'TRAC-1' refers to the annual level of regular program resources targeted to be available for an individual program country during the programming period. They are allocated centrally, according to TRAC-1 eligibility and other criteria approved by the Executive Board. TRAC-2 was designed to provide the Administrator with the flexibility to allocate regular program resources to high-impact, high-leverage and high-quality program activities and to help UNDP to respond effectively to differentiated country needs (decision 2013/4). From a substantive perspective, TRAC-2 resources are considered fully fungible with TRAC-1 resources. They are allocated, on non-formula-based criteria, in line with regional TRAC-1 allocations. TRAC-3 was established to provide UNDP with the capacity to respond quickly and flexibly to the development needs of countries affected by conflicts and natural disasters.

20. In addition, when referring to country eligibility based on a country's World Bank engagement, the Instrument refers to a country that can "borrow from the World Bank (IBRD and/or IDA)". The World Bank (IDA) introduced grants for a select group of low income countries during the IDA-12 replenishment period (2000-2002).

21. Since a portion of the current text of sub-paragraph (b) of paragraph 9 requires updating as explained above, it is proposed that the Council recommend to the Assembly that sub-paragraph (b) of paragraph 9 be deleted and replaced by a new sub-paragraph (b) that would read as follows:

> *(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to receive World Bank (IBRD and/or IDA) financing or if it is an eligible recipient of UNDP technical assistance through its target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2). GEF grants for activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the*

[1] See document at http://web.undp.org/execbrd/pdf/dp1996-1.pdf.

*financial mechanism of the convention, shall only be made available to eligible recipient countries that are party to the convention concerned.*

**Amendment to paragraphs 11 and 21 of the Instrument**

22. The Council, meeting in November 2013, decided to change the name of the Evaluation Office to Independent Evaluation Office. As part of that decision, the Council further requested "the Secretariat and the Evaluation Office to prepare a proposal for amendment of the Instrument to include the Independent Evaluation Office, to be approved by Council before the Assembly in 2014". It is proposed that the Council recommend to the Assembly to delete paragraph 11 and replace it with a new paragraph 11 that would read:

*11. The GEF shall have an Assembly, a Council, and a Secretariat including an independent evaluation office. In accordance with paragraph 24, a Scientific and Technical Advisory Panel (STAP) shall provide appropriate advice.*

23. It is also proposed that the Council recommend to the Assembly to expand paragraph 21 to include a new sub-paragraph 21 (i) that would read:

(i) there shall be an independent evaluation office headed by a director, appointed by and reporting to the Council, whose responsibility it is to carry out independent evaluations consistent with decisions of the Council; and

24. The current sub-paragraph (i) would now be a new sub-paragraph (j) that would read:

(j) perform any other functions assigned to the Secretariat by the Council.

# Annex III

## E-mail from the secretariat of the Global Environment Facility relating to proposed amendments to the Instrument

### GEF secretariat confirmation by e-mail to the GEF Council regarding GEF Council decision to recommend to the GEF Assembly amendments to the Instrument

From: Secretariat Gef/Service/World Bank
To: Secretariat Gef/Service/World Bank@WorldBank
Date: 02/19/2014 04:57 PM
Subject: Amendments to the Instrument - Final Text
Sent by: John I. Clyde

Dear Council Members:

This is to follow-up the message dated January 24st, 2014 in which you were asked to consider a decision by mail on Amendments to the Instrument to be recommended to the Fifth Assembly, including but not limited to the Minamata Convention.

Below you will find the final text that takes into account the comments received.

(See attached file: GEF.C.45.11.Rev.02 Amendments to the Instrument.pdf)

Best regards,

GEF Secretariat

## Annex IV

# Document of the Assembly of the Global Environment Facility on proposed amendments to the Instrument

GEF/A.5/09
April 16, 2014

Fifth GEF Assembly
May 28 – 29, 2014
Cancun, Mexico

Agenda Item 5

## AMENDMENTS TO THE INSTRUMENT

**Decision of the Assembly**

*The Fifth GEF Assembly,*

*Recalling* paragraph 34 of the *Instrument for the Establishment of the Restructured Global Environment Facility*,

*Having considered* the recommendations of the GEF Council for proposed amendments to the Instrument,

1. Approves by consensus the following amendments to the Instrument:

To delete current paragraph 6 and replace it with a new paragraph 6 that would read:

*6. In partial fulfillment of its purposes, the GEF shall:*

*(a) Operate the financial mechanism for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC), on an interim basis, in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall also be available to meet the agreed full costs of activities described in Article 12, paragraph 1, of the UNFCCC. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the UNFCCC if it is requested to do so by the Conference of the Parties pursuant to its Article 11, paragraph 4. In such respects, the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria related to the UNFCCC pursuant to its Article 11, paragraph 1;*

*(b) Be, on an interim basis, the institutional structure which carries out the operation of the financial mechanism for the implementation of the Convention on Biological Diversity (CBD), in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the CBD if it is requested to do so by the Conference of the Parties pursuant to its Article 21, paragraph 3. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria for the purposes of the CBD pursuant to its Article 21, paragraph 1;*

*(c) Be available to serve as an entity entrusted with the operation of the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants. In such*

*respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, strategy, program priorities and eligibility criteria for the purposes of this Convention pursuant to its Article 13, paragraph 7(a);*

*(d) Be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2 (b), and Article 21 of the UNCCD. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa; and*

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

**To delete sub-paragraphs (e) and (f) of paragraph 2 of the Instrument and replace them with a new sub-paragraph (e) that would read:**

*(e) chemicals and waste.*

**To delete sub-paragraph (b) of Paragraph 9 and replace it with a new sub-paragraph (b) that would read:**

*(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to receive World Bank (IBRD and/or IDA) financing or if it is an eligible recipient of UNDP technical assistance through its target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2). GEF grants for activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the financial mechanism of the convention, shall only be made available to eligible recipient countries that are party to the convention concerned.*

To delete paragraph 11 and replace it with a new paragraph 11 that would read:

*11. The GEF shall have an Assembly, a Council, and a Secretariat including an independent evaluation office. In accordance with paragraph 24, a Scientific and Technical Advisory Panel (STAP) shall provide appropriate advice.*

To expand paragraph 21 to include the IEO in a new sub-paragraph (i) that would read:

*21. (i) there shall be an independent evaluation office headed by a director, appointed by and reporting to the Council, whose responsibility it is to carry out independent evaluations consistent with decisions of the Council; and*

The current sub-paragraph (i) would become a new-subparagraph (j) that would read:

*(j) perform any other functions assigned to the Secretariat by the Council.*

2. Invites the CEO/Chairperson of the Facility to submit this amendment to the Implementing Agencies and the Trustee and to request that they adopt the amendments in accordance with their respective rules and procedural requirements.

3. Invites the CEO/Chairperson of the Facility to inform all Participants of the effectiveness of the amendments once the Implementing Agencies and the Trustee have approved it.

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## INTRODUCTION

1. According to paragraph 34 of the GEF Instrument, an amendment to the Instrument "may be approved by consensus by the Assembly upon the recommendation of the Council, after taking into account the views of the Implementing Agencies and the Trustee, and shall become effective after adoption by the Implementing Agencies and the Trustee in accordance with their respective rules and procedural requirements." This document explains the proposed amendments being recommended to the fifth GEF Assembly by the GEF Council.

## GEF COUNCIL RECOMMENDATION TO THE GEF ASSEMBLY REGARDING PROPOSED AMENDMENTS TO THE GEF INSTRUMENT

2. In November 2013, at its 45th Meeting, the GEF Council, having considered document GEF/C.45/11, *Amendments to the Instrument*, requested the Secretariat to submit a new draft decision by mid-January 2014, for consideration and decision by mail, on amendments to the Instrument to be recommended to the fifth GEF Assembly, including but not limited to the Minamata Convention on Mercury.

3. After taking into account the views of the Implementing Agencies and Trustee, the GEF Secretariat submitted on 24 January 2014, a draft decision for approval by mail to the GEF Council, recalling that such decision would be approved unless the Secretariat received an objection from a Council Member.

4. Some Council Members made minor comments and suggestions to the draft, which were taken into consideration in the revised text.

5. Based on the comments and suggestions received, the GEF Secretariat circulated on 19 February 2014 the final version of the Council decision (GEF/C.45/11/Rev.02) recommending that the Assembly adopt the amendments to the Instrument.

6. The following paragraphs are from the Council document GEF/C.45/11/Rev.02.

## AMENDMENT TO PARAGRAPH 6 OF THE INSTRUMENT - THE GEF AS FINANCIAL MECHANISM OF THE MINAMATA CONVENTION ON MERCURY

7. At its 44th Meeting, the Council decided that, having reviewed document GEF/C.44/04, *Preparing the GEF to serve as the Financial Mechanism of the Minamata Convention on Mercury upon entry into force,*

> *Welcomed with appreciation the invitation from the Intergovernmental Negotiating Committee to Prepare a Global Legally Binding Instrument on Mercury to the GEF, to be the key element of the Financial Mechanism of the Minamata Convention on Mercury as drafted in Article 13 of the agreed text of the Convention, which will be submitted for*

*adoption and opened for signature in Kumamoto and Minamata, Japan in October 2013.*

*Authorized the use of up to $10 million for the funding of an early action pre-ratification program for the Minamata Convention to be programed during the remainder of GEF-5, upon request by eligible signatory countries.*

*Requested the GEF Secretariat to develop initial guidelines consistent with the final resolutions of the diplomatic Conference for enabling activities and pre-ratification projects, in consultation with the interim Secretariat of the Minamata Convention, and present this as an information document at the 45th Council Meeting.*

8. **Article 13 of the Minamata Convention on Mercury includes the following paragraphs:**

*Par. 5:A Mechanism for the provision of adequate, predictable, and timely financial resources is hereby defined. The Mechanism is to support developing country Parties and Parties with economies in transition in implementing their obligations under this Convention.*

*Par. 6: The Mechanism shall include:*
*(a) The Global Environment Facility Trust Fund; and*
*(b) A specific international Programme to support capacity-building and technical assistance.*

*Par. 7: The Global Environment Facility Trust Fund shall provide new, predictable, adequate and timely financial resources to meet costs in support of implementation of this Convention as agreed by the Conference of the Parties. For the purposes of this Convention, the Global Environment Facility Trust Fund shall be operated under the guidance of and be accountable to the Conference of the Parties. The Conference of the Parties shall provide guidance on overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources. In addition, the Conference of the Parties shall provide guidance on an indicative list of categories of activities that could receive support from the Global Environment Facility Trust Fund. The Global Environment Facility Trust Fund shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.*

*Par. 8: In providing resources for an activity, the Global Environment Facility Trust Fund should take into account the potential mercury reductions of a proposed activity relative to its costs.*

*Par. 10: The Conference of the Parties and the entities comprising the Mechanism shall agree upon, at the first meeting of the Conference of the Parties, arrangements to give effect to the above paragraphs.*

9. By way of background, the Instrument was amended in 2002 when the GEF Assembly agreed to include the Stockholm Convention on Persistent Organic Pollutants in paragraph 6 of the Instrument, and added Land Degradation and Persistent Organic Pollutants to the GEFs four original focal areas (biological diversity, climate change, international waters and ozone layer depletion)

10. In 2010, the Instrument was amended by the Assembly to add sub-paragraph (b) in paragraph 6 which states:

*(b) The GEF shall be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2(b), and Article 21 of the Convention. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa.*

11. As noted above, the Minamata Convention on Mercury establishes a Mechanism for the provision of financial resources. The Mechanism will be comprised of two entities, one of them being the Global Environment Facility Trust Fund. (Article 13, paragraph 6 of the Convention).

12. The Diplomatic Conference that adopted the Minamata Convention on Mercury, October 9 to 11, 2013 in Japan, also adopted a Resolution 2 on Financial Arrangements that:

*Invites the Council of the GEF to give effect to the inclusion of the GEF Trust Fund as part of the financial mechanism of the Minamata Convention and to recommend to the Assembly of the GEF, as a matter of urgency, that it makes any adjustments to the Instrument for the Establishment of the Restructured Global Environment Facility that are necessary to allow it to fulfill its role in the financial mechanism.*

13. In response to this invitation and to the formal adoption of the Convention by the Diplomatic Conference, the proposed amendment to add a new sub-paragraph (e) to paragraph 6 of the GEF Instrument is as follows:

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies,*

*program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

**FURTHER AMENDMENTS TO PARAGRAPH 6 OF THE INSTRUMENT**

14. The preceding proposal provides the opportunity to further amend Paragraph 6 of the Instrument in order to clarify GEF responsibilities under each of the conventions it serves in an orderly fashion. Therefore, it is proposed that the existing paragraph 6 be deleted and replaced by the following new paragraph 6:

*6. In partial fulfillment of its purposes, the GEF shall:*

*(a) Operate the financial mechanism for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC), on an interim basis, in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall also be available to meet the agreed full costs of activities described in Article 12, paragraph 1, of the UNFCCC. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the UNFCCC if it is requested to do so by the Conference of the Parties pursuant to its Article 11, paragraph 4. In such respects, the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria related to the UNFCCC pursuant to its Article 11, paragraph 1;*

*(b) Be, on an interim basis, the institutional structure which carries out the operation of the financial mechanism for the implementation of the Convention on Biological Diversity (CBD), in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the CBD if it is requested to do so by the Conference of the Parties pursuant to its Article 21, paragraph 3. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria for the purposes of the CBD pursuant to its Article 21, paragraph 1;*

*(c) Be available to serve as an entity entrusted with the operation of the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants. In such*

*respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, strategy, program priorities and eligibility criteria for the purposes of this Convention pursuant to its Article 13, paragraph 7(a);*

*(d) Be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2 (b), and Article 21 of the UNCCD. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa; and*

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

**AMENDMENT TO PARAGRAPH 2 OF THE INSTRUMENT**

15. The GEF Instrument, in paragraph 2, separately identifies Persistent Organic Pollutants (POPs) and Ozone Depleting Substances (ODS) as two focal areas. These focal areas sufficed up to the end of GEF 4 where only POPs and ODS programs and projects were funded by the GEF.

16. In GEF 5 with the advancement of the negotiations towards a global instrument on Mercury and the emergence of chemical issues of global concern covered by the Strategic Approach to International Chemicals Management (SAICM), the GEF Council approved a GEF 5 chemicals strategy that broadened the scope of the issues covered by the POPs focal area.

17. A number of external drivers also add justification to the creation of a new focal area which better responds to the demands on the GEF in regard to chemicals and waste.

18. A consultative process on financing options for chemicals and waste was launched by the UNEP Executive Director at COP 4 of the Stockholm Convention. After the consultation, the Executive Director presented an integrated approach that was adopted by the 27th UNEP Governing Council (decision 27/12) in February 2013. The decision also invites the GEF in the context of the 6th replenishment process to revise its focal area structure and strategy in order to

address the chemicals and wastes agenda, and consider ways of further strengthening its relations with the conventions it serves as a financial mechanism.

19. In September, 2012, the 3rd International Conference on Chemicals Management (ICCM 3) invited the GEF in the process of the 6th replenishment to consider the priorities and activities identified in the Strategic Approach to International Chemicals Management (SAICM) in support of the achievement of its objectives.

20. It is therefore recommended that sub-paragraph (e) and (f) of paragraph 2 of the Instrument be deleted and replaced by a new sub-paragraph (e) that would read:

*(e) chemicals and waste.*

21. As a result, the new list of focal areas in paragraph 2 would read as follows:

*(a) biological diversity;*

*(b) climate change;*

*(c) international waters;*

*(d) land degradation, primarily desertification and deforestation; and*

*(e) chemicals and waste.*

**AMENDMENT TO PARAGRAPH 9 OF THE INSTRUMENT**

22. Paragraph 9 (b) of the Instrument refers to Eligibility and reads as follows:
*(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to borrow from the World Bank (IBRD and/or IDA) or if it is an eligible recipient of UNDP technical assistance through its country Indicative Planning Figure (IPF). GEF grants for activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the financial mechanism of the convention, shall only be made available to eligible recipient countries that are party to the convention concerned.*

23. When referring to a country being an eligible recipient of UNDP technical assistance, the Instrument refers to the "country Indicative Planning Figure (IPF)". In its decision 95/23[1] on the 1997-1999 successor programming arrangements, the Executive Board of UNDP

[1] See document at http://web.undp.org/execbrd/pdf/dp1996-1.pdf.

introduced "a new, more flexible three-tier target for resource assignments from the core [TRAC] scheme for the allocation of resources to the country level, which replaced the IPF scheme.

24. UNDP regular resource allocations for country-level program activities are made within the framework of targets for resource assignments from the core (known as 'TRACs'). The TRAC is a three-tiered system in which TRAC-1 and TRAC-2 resources are linked in a combined pool, while TRAC-3 resources are made available through a separate pool. TRAC allocations form the financial foundation for the UNDP programmatic presence on the ground. 'TRAC-1' refers to the annual level of regular program resources targeted to be available for an individual program country during the programming period. They are allocated centrally, according to TRAC-1 eligibility and other criteria approved by the Executive Board. TRAC-2 was designed to provide the Administrator with the flexibility to allocate regular program resources to high-impact, high-leverage and high-quality program activities and to help UNDP to respond effectively to differentiated country needs (decision 2013/4). From a substantive perspective, TRAC-2 resources are considered fully fungible with TRAC-1 resources. They are allocated, on non-formula-based criteria, in line with regional TRAC-1 allocations. TRAC-3 was established to provide UNDP with the capacity to respond quickly and flexibly to the development needs of countries affected by conflicts and natural disasters.

25. In addition, when referring to country eligibility based on a country's World Bank engagement, the Instrument refers to a country that can "borrow from the World Bank (IBRD and/or IDA)". The World Bank (IDA) introduced grants for a select group of low income countries during the IDA-12 replenishment period (2000-2002).

26. Since a portion of the current text of sub-paragraph (b) of paragraph 9 requires updating as explained above, it is proposed that the Council recommend to the Assembly that sub-paragraph (b) of paragraph 9 be deleted and replaced by a new sub-paragraph (b) that would read as follows:

> *(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to receive World Bank (IBRD and/or IDA) financing or if it is an eligible recipient of UNDP technical assistance through its target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2). GEF grants for activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the financial mechanism of the convention, shall only be made available to eligible recipient countries that are party to the convention concerned.*

**AMENDMENT TO PARAGRAPHS 11 AND 21 OF THE INSTRUMENT**

27. The Council, meeting in November 2013, decided to change the name of the Evaluation Office to Independent Evaluation Office. As part of that decision, the Council further requested "the Secretariat and the Evaluation Office to prepare a proposal for amendment of the Instrument to include the Independent Evaluation Office, to be approved by Council before the Assembly in 2014". It is proposed that the Council recommend to the Assembly to delete paragraph 11 and replace it with a new paragraph 11 that would read:

> *11. The GEF shall have an Assembly, a Council, and a Secretariat including an independent evaluation office. In accordance with paragraph 24, a Scientific and Technical Advisory Panel (STAP) shall provide appropriate advice.*

28. It is also proposed that the Council recommend to the Assembly to expand paragraph 21 to include a new sub-paragraph 21 (i) that would read:

> *(i) there shall be an independent evaluation office headed by a director, appointed by and reporting to the Council, whose responsibility it is to carry out independent evaluations consistent with decisions of the Council; and*

29. The current sub-paragraph (i) would now be a new sub-paragraph (j) that would read:

> *(j) perform any other functions assigned to the Secretariat by the Council.*

# Annex V

## Chair's summary of the Fifth Assembly of the Global Environment Facility

May 29, 2014

**Chair's Summary of the Fifth GEF Assembly**
**Cancun, Mexico**
**May 28-29, 2014**

*Agenda Item 1.* *Opening Ceremony*

1. The meeting was called to order and opening statements were heard from Mr. Fernando Aportela Rodriguez, Undersecretary of Finance and Public Credit of Mexico, H.E. Mr. Juan Jose Guerra Abud, Secretary of Environment and Natural Resources of Mexico, and GEF CEO and Chairperson, Naoko Ishii.

2. A video capturing highlights of two decades of work of the GEF partnership in Mexico was presented.

*Agenda Item 2.* *Election of the Chair*

3. The Assembly elected H.E. Mr. Juan Jose Guerra Abud, Secretary of Environment and Natural Resources of Mexico, as its Chair.

*Agenda Item 3.* *Election of the Vice-Chairs*

4. The Assembly elected Dr. Bruno Oberle, Secretary of State and Director of the Swiss Federal Office of the Environment, Switzerland, and H.E. Ms. Judi Wakhungu, Minister of Water and Environment of Kenya, as its Vice-Chairs.

*Agenda Item 4.* *Adoption of the Agenda and Organization of Work*

5. The Assembly approved the provisional agenda circulated as document GEF/A.5/01. The Assembly approved the organization of work proposed in the Provisional Annotated Agenda, GEF/A.5/02.

*Agenda Item 5.* *Amendments to the Instrument*

6. Pursuant to paragraph 34 of the *Instrument for the Establishment of the Restructured Global Environment Facility*, amendments to the Instrument were approved by consensus by the Assembly upon the recommendation of the Council, after taking into account the views of the

Implementing Agencies and the Trustee, and shall become effective after adoption by the Implementing Agencies and the Trustee in accordance with their respective rules and procedural requirements.

7. The amendments were submitted to the Assembly, upon recommendation of the Council, in document GEF/A.5/09, *Amendments to the Instrument*. The amendments were approved by the Assembly, and the text can be found in Appendix 1 to this Summary.

*Agenda Item 6.* *Report on the GEF Trust Fund*

8. The Assembly took note of the Trustee Report, *GEF-5 Funding Retrospective* (GEF/A.5/06).

*Agenda Item 7.* *Presentation on GEF2020*

9. The CEO and Chairperson of the GEF addressed the plenary with regard to the *Strategy for the GEF – GEF2020* (GEF/A.5/10). Naoko Ishii remarked that the Strategy was welcomed by the 46th GEF Council. The Assembly welcomed of the *Strategy for the GEF – GEF2020.*

*Agenda Item 8.* *Report on the Sixth Replenishment of the GEF Trust Fund*

10. The Assembly took note of the *Summary of Negotiations of the Sixth Replenishment of the GEF Trust Fund* (GEF/A.5/07).

*Agenda Item 9.* *Statement by the GEF Scientific and Technical Advisory Panel (STAP)*

11. The Assembly welcomed the Report of the Scientific and Technical Advisory Panel on the work it carried out during GEF-5, contained in document GEF/A.5/03.

*Agenda Item 10.* *Statement by the GEF Evaluation Office*

12. The Assembly welcomed the document *Fifth Overall Performance Study of the GEF (OPS5)* (GEF/A.5/04) and noted the findings and recommendations of OPS5 and other evaluation reports prepared during GEF-5.

*Agenda Item 11.* *Report on GEF Membership*

13. The Assembly took note of the *Report on GEF Membership* (GEF/A.5/05).

*Agenda Item 12.* *Report on Credentials*

14. The Bureau presented its report on credentials to the plenary.

*Agenda Item 13.* *High-Level Round Tables*

15. The round table sessions focused on key elements of the GEF 2020 vision and GEF6 strategies and programs. Seven key themes were addressed in the Assembly through the round

tables: Financing Green Growth; Natural Capital; Role of Legislation in Accelerating and Scaling Up Change at the National Scale; Sustainable and Resilient Cities; Water, Food and Energy Nexus; Sustainable Commodities, and; Multilateral Environmental Agreements and the Post-2015 Framework: A Forward-Looking Agenda.

16. Round tables were composed of speakers from different sectors including government, international organizations, and private sector. Attendance was open to Ministers and other Heads of Delegation, as well as to Assembly invitees.

*Round Table 1.1* *Financing Green Growth*

Host: Mr. Fernando Aportela Rodriguez – Undersecretary of Finance and Public Credit, Mexico.

Panelists:
- Mr. LI Yong – Director-General, United Nations Industrial Development Organization
- Mr. Peter Seligmann – CEO, Conservation International
- Mr. Daniel Servitje – CEO and Chairman, Bimbo Group Mexico
- Mr. Mohale Rakgate – General Manager, Development Bank of Southern Africa

Moderator: Mr. Joachim von Amsberg – Vice-President, Development Finance, World Bank

*Round Table 1.2* *Natural Capital*

Host: Mr. Fernando Aportela Rodriguez – Undersecretary of Finance and Public Credit, Mexico

Panelists:
- Mr. Braulio Ferreira de Souza Dias – Executive Secretary, Convention on Biological Diversity
- Mr. Carlos Roxo – Director, Sustainability and Corporate Relations, Fibria
- Mr. Jose Sarukhan Kermez – CONABIO, Mexico
- Mr. Eduardo Sojo – President, National Institute of Statistics and Geography, Mexico
- Mr. Tshekedi Khama – Minister of Environment, Wildlife, and Tourism, Botswana

Moderator: Dr. Rosina Bierbaum – Chair, GEF Scientific and Technical Advisory Panel

*Round Table 2.1* *Role of Legislation in Accelerating and Scaling Up Change at the National Scale*

Round Table Lead Host: H.E. Mr. Juan Jose Guerra Abud – Secretary of Environment and Natural Resources, Mexico

Panelists:
- Mr. Graham Stuart – MP, United Kingdom
- Mr. James Lembeli – MP, Tanzania
- Ms. Lourdes Adriana Lopez Moreno – Congresswoman, Mexico
- Dr. Antonio Azuela de la Cueva – Social Research Institute, UNAM
- Mr. Ibrahim Thiaw – Deputy Executive Director, United Nations Environment Programme

Moderator: Mr. David Barron – Chairman, International Conservation Caucus Foundation (ICCF)

*Round Table 2.2* *Sustainable and Resilient Cities*

Host: H.E. Mr. Juan Jose Guerra Abud – Secretary of Environment and Natural Resources, Mexico

Panelists:
- Mr. Gino van Begin – Secretary General, ICLEI
- Ms. Maimunah Mohd Sharif – Mayor of Seberang Perai, Malaysia
- Mr. Bernardo Baranda Sepulveda – Regional Director for Latin America, Institute for Transportation and Development Policy
- Mr. Boris Graizbord – Coordinator, LEAD Mexico, Colegio de Mexico

Moderator: Mr. Ede Ijjasz-Vasquez – Director of Sustainable Development, World Bank

*Round Table 3.1* *Water, Food and Energy Nexus*

Host: Mr. Leonardo Beltran Rodriguez – Deputy Secretary for Planning and Energy Transition, Secretariat of Energy, Mexico

Panelists:
- Mr. Dan Glickman – Executive Director, Aspen Institute Congressional Program (Former US Secretary of Agriculture)
- Ms. Monique Barbut – Executive Secretary, UN Convention to Combat Desertification

- Mr. Shenggen Fan – Director General, International Food Policy Research Institute
- Ms. Sara Scherr – President, EcoAgriculture Partners

Moderator: Mr. Andrew Steer – President and CEO, World Resources Institute

*Round Table 3.2* *Sustainable Commodities*

Host: Mr. Leonardo Beltran Rodriguez – Deputy Secretary of Energy, Mexico

Panelists:
- Mr. Carter Roberts – President and CEO, World Wildlife Fund
- Ms. Ana Paula Tavares – Executive Vice President, Rainforest Alliance
- Ms. Susan Jackson – President, International Seafood Sustainability Foundation
- Mr. Agustin Mascotena – Executive Director, Round Table for Responsible Soy Association
- Mr. Darrel Webber – Secretary General, Round Table on Sustainable Palm Oil

Moderator: Mr. Andrew Steer – President and CEO, World Resources Institute

*Round Table 4* *Multilateral Environmental Agreements and the Post-2015 Framework: A Forward-Looking Agenda*

Host: H.E. Mr. Jose Antonio Meade Kuribrena – Minister of Foreign Affairs, Mexico

Panelists:
- Ms. Amina Mohammed – Special Adviser on Post-2015 Development Planning, United Nations
- Mr. Ibrahim Thiaw – Deputy Executive Director, UNEP and Assistant Secretary General, United Nations
- Dr. Rajendra Pachauri – Chairman, IPCC and Director-General, TERI (The Energy and Resources Institute)
- Dr. Jeffrey Sachs – Director, The Earth Institute at Columbia University and Director, Sustainable Development Solutions Network
- Dr. William Moomaw – Professor of International Environmental Policy, Fletcher School, Tufts University

Moderator: Homi Kharas – Deputy Director for Global Economy and Development, Brookings Institution

*Agenda Item 14.* *Statements by the Heads of the GEF Agencies*

17. The Assembly heard a statement by Li Yong, Director-General of the United Nations Industrial Development Organization, and a video message by Dr. Jim Yong Kim, President of the World Bank.

*Agenda Item 15.* *Statements by the Representatives of the Conventions*

*18.* The Assembly heard statements by Mr. Braulio Ferreira de Souza Dias, Executive Secretary of the Convention on Biological Diversity, and Ms. Fatoumata Kieta-Ouane, Executive Secretary of the Interim Secretariat for the Minamata Convention on Mercury.

*Agenda Item 16.* *Statements on Behalf of Constituencies*

*19.* The Assembly heard statements from representatives of the GEF Constituencies as well as from some other Participants.

*Agenda Item 17.* *Statement by a Representative of the Civil Society Organizations*

20. The Assembly heard a statement by a representative of the GEF Civil Society Organizations Network (GEF CSO Network) on behalf of the CSO community.

*Agenda item 18.* *Summary of the High-Level Round Table Discussions*

21. The GEF CEO, Naoko Ishii, and Prof. Jeffrey Sachs, Head of the Earth Institute at Columbia University, exchanged views on some of the main topics discussed during the Round Tables.

*Agenda Item 19.* *Presentation of the Chair's Summary*

22. In accordance with paragraph 24 of the Rules of Procedure, the Assembly approved the Summary of the Proceedings submitted by the Chair.

*Agenda Item 20.* *Closing of the Assembly*

23. The Chair of the Assembly presented a document highlighting the overall message of the Assembly.

24. The CEO and Chairperson of the Facility and the Chair of the Assembly made closing remarks to the Assembly.

**Appendix 1: Decision of the Assembly**

*The Fifth GEF Assembly,*

*Recalling* paragraph 34 of the *Instrument for the Establishment of the Restructured Global Environment Facility,*

*Having considered* the recommendations of the GEF Council for proposed amendments to the Instrument,

1. Approves by consensus the following amendments to the Instrument:

To delete current paragraph 6 and replace it with a new paragraph 6 that would read:

*6. In partial fulfillment of its purposes, the GEF shall:*

*(a) Operate the financial mechanism for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC), on an interim basis, in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall also be available to meet the agreed full costs of activities described in Article 12, paragraph 1, of the UNFCCC. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the UNFCCC if it is requested to do so by the Conference of the Parties pursuant to its Article 11, paragraph 4. In such respects, the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria related to the UNFCCC pursuant to its Article 11, paragraph 1;*

*(b) Be, on an interim basis, the institutional structure which carries out the operation of the financial mechanism for the implementation of the Convention on Biological Diversity (CBD), in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the CBD if it is requested to do so by the Conference of the Parties pursuant to its Article 21, paragraph 3. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria for the purposes of the CBD pursuant to its Article 21, paragraph 1;*

*(c) Be available to serve as an entity entrusted with the operation of the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, strategy, program priorities and eligibility criteria for the purposes of this Convention pursuant to its Article 13, paragraph 7(a);*

*(d) Be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2 (b), and Article 21 of the UNCCD. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa; and*

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

To delete sub-paragraphs (e) and (f) of paragraph 2 of the Instrument and replace them with a new sub-paragraph (e) that would read:

*(e) chemicals and waste.*

To delete sub-paragraph (b) of Paragraph 9 and replace it with a new sub-paragraph (b) that would read:

*(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to receive World Bank (IBRD and/or IDA) financing or if it is an eligible recipient of UNDP technical assistance through its target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2). GEF grants for*

*activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the financial mechanism of the convention, shall only be made available to eligible recipient countries that are party to the convention concerned.*

To delete paragraph 11 and replace it with a new paragraph 11 that would read:

*11. The GEF shall have an Assembly, a Council, and a Secretariat including an independent evaluation office. In accordance with paragraph 24, a Scientific and Technical Advisory Panel (STAP) shall provide appropriate advice.*

To expand paragraph 21 to include the IEO in a new sub-paragraph (i) that would read:

*21. (i) there shall be an independent evaluation office headed by a director, appointed by and reporting to the Council, whose responsibility it is to carry out independent evaluations consistent with decisions of the Council; and*

The current sub-paragraph (i) would become a new-subparagraph (j) that would read:

*(j) perform any other functions assigned to the Secretariat by the Council.*

2. Invites the CEO/Chairperson of the Facility to submit this amendment to the Implementing Agencies and the Trustee and to request that they adopt the amendments in accordance with their respective rules and procedural requirements.

3. Invites the CEO/Chairperson of the Facility to inform all Participants of the effectiveness of the amendments once the Implementing Agencies and the Trustee have approved it."

## Annex VI

# Correspondence from the Chief Executive Officer and Chair of the Global Environment Facility addressed to the Executive Director of the United Nations Environment Programme

GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

NAOKO ISHII
*Chief Executive Officer and Chairperson*

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June 02, 2014

Mr. Achim Steiner
Executive Director
United Nations Environment Programme (UNEP)
Nairobi, Kenya

Dear Mr. Steiner,

It gives me great pleasure to inform you that the Fifth GEF Assembly held in Cancun, Mexico, May 28-29, 2014, approved by consensus, upon the recommendation of the Council, a few amendments to the *Instrument for the Establishment of the Restructured GEF*.

The amendments to the Instrument address five matters:

(a) Confirmation that the GEF shall operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources;

(b) Reorganization of paragraph 6, in order to separate the GEF role for each Convention it serves;

(c) Replacement of the focal areas of ozone layer depletion and of persistent organic pollutants by the focal area of chemicals and waste;

(d) Update of the eligibility criteria of countries to receive GEF funding, to reflect changes in UNDP's target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2); and the World Bank's provision of grants to less developed countries; and

(e) Inclusion of references to the Independent Evaluation Office.

The approved text of the amendments is set forth in the Decision of the Fifth GEF Assembly attached to this letter.

As requested in the Assembly's decision, I am submitting these amendments to UNEP in its capacity as a GEF Implementing Agency to facilitate the adoption of the amendments in accordance with your respective rules and procedural requirements.

I would appreciate it if you would keep us informed of the progress made in adopting these amendments so that we can confirm the effectiveness of the amendments and inform the Council and all Participants accordingly.

I would also like to inform you that I have transmitted the *Summary of Negotiations of the Sixth Replenishment of the GEF Trust Fund* (document GEF/C.46/07/Rev.01) to the World Bank with a request that the World Bank Executive Directors be invited to adopt Annex C to this Summary, *Draft World Bank Resolution No. ____, The Global Environment Facility Trust Fund: Sixth Replenishment of Resources*, thereby authorizing the World Bank, as Trustee of the GEF Trust Fund, to manage the resources made available under GEF-6.

The policy recommendations associated with the replenishment will be addressed by the GEF Council as part of its ongoing work.

I would like to express my highest appreciation to you and your colleagues for the significant contribution that you made to the successful conclusion of the Fifth GEF Assembly. I look forward to working with you in implementing the recommendations and decisions of the Assembly and the replenishment process.

Sincerely,

Naoko Ishii
CEO and Chairperson

c.c.: Council Members and Alternates

**Decision of the Assembly**

*The Fifth GEF Assembly,*
*Recalling* paragraph 34 of the *Instrument for the Establishment of the Restructured Global Environment Facility,*

*Having considered* the recommendations of the GEF Council for proposed amendments to the Instrument,

1. Approves by consensus the following amendments to the Instrument:

To delete current paragraph 6 and replace it with a new paragraph 6 that would read:

*6. In partial fulfillment of its purposes, the GEF shall:*

*(a) Operate the financial mechanism for the implementation of the United Nations Framework Convention on Climate Change (UNFCCC), on an interim basis, in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall also be available to meet the agreed full costs of activities described in Article 12, paragraph 1, of the UNFCCC. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the UNFCCC if it is requested to do so by the Conference of the Parties pursuant to its Article 11, paragraph 4. In such respects, the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria related to the UNFCCC pursuant to its Article 11, paragraph 1;*

*(b) Be, on an interim basis, the institutional structure which carries out the operation of the financial mechanism for the implementation of the Convention on Biological Diversity (CBD), in accordance with such cooperative arrangements or agreements as may be made pursuant to paragraphs 27 and 31 of this Instrument. The GEF shall be available to continue to serve for the purposes of the financial mechanism for the implementation of the CBD if it is requested to do so by the Conference of the Parties pursuant to its Article 21, paragraph 3. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, program priorities and eligibility criteria for the purposes of the CBD pursuant to its Article 21, paragraph 1;*

*(c) Be available to serve as an entity entrusted with the operation of the financial mechanism of the Stockholm Convention on Persistent Organic Pollutants. In such respects the GEF shall function under the guidance of, and be accountable to, the Conference of the Parties which shall decide on policies, strategy, program priorities and eligibility criteria for the purposes of this Convention pursuant to its Article 13, paragraph 7(a);*

*(d) Be available to serve as a financial mechanism of the United Nations Convention to Combat Desertification in Countries Experiencing Serious Drought and/or Desertification, particularly in Africa (UNCCD), pursuant to Article 20, paragraph 2 (b), and Article 21 of the UNCCD. The Council shall consider and approve arrangements to facilitate collaboration between the GEF and the UNCCD and among countries with respect to affected countries, particularly Africa; and*

*(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.*

To delete sub-paragraphs (e) and (f) of paragraph 2 of the Instrument and replace them with a new sub-paragraph (e) that would read:

*(e) chemicals and waste.*

To delete sub-paragraph (b) of Paragraph 9 and replace it with a new sub-paragraph (b) that would read:

*(b) All other GEF grants shall be made available to eligible recipient countries and, where appropriate, for other activities promoting the purposes of the Facility in accordance with this paragraph and any additional eligibility criteria determined by the Council. A country shall be an eligible recipient of GEF grants if it is eligible to receive World Bank (IBRD and/or IDA) financing or if it is an eligible recipient of UNDP technical assistance through its target for resource assignments from the core (specifically TRAC-1 and/or TRAC-2). GEF grants for activities within a focal area addressed by a convention referred to in paragraph 6 but outside the framework of the financial mechanism of the convention, shall*

*only be made available to eligible recipient countries that are party to the convention concerned.*

To delete paragraph 11 and replace it with a new paragraph 11 that would read:

*11. The GEF shall have an Assembly, a Council, and a Secretariat including an independent evaluation office. In accordance with paragraph 24, a Scientific and Technical Advisory Panel (STAP) shall provide appropriate advice.*

To expand paragraph 21 to include the IEO in a new sub-paragraph (i) that would read:

*21. (i) there shall be an independent evaluation office headed by a director, appointed by and reporting to the Council, whose responsibility it is to carry out independent evaluations consistent with decisions of the Council; and*

The current sub-paragraph (i) would become a new-subparagraph (j) that would read:

*(j) perform any other functions assigned to the Secretariat by the Council.*

2. Invites the CEO/Chairperson of the Facility to submit this amendment to the Implementing Agencies and the Trustee and to request that they adopt the amendments in accordance with their respective rules and procedural requirements.

3. Invites the CEO/Chairperson of the Facility to inform all Participants of the effectiveness of the amendments once the Implementing Agencies and the Trustee have approved it.

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**United Nations Environment Assembly of the United Nations Environment Programme**
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Items 5 and 6 of the provisional agenda*

**Policy issues**

**Follow-up to and implementation of the outcomes of United Nations summits, in particular the United Nations Conference on Sustainable Development, and major intergovernmental meetings of relevance to the United Nations Environment Assembly**

# Process to prepare a United Nations system-wide strategy on the environment

## Note by the secretariat

*Summary*

The present note provides additional information concerning the plan for the preparation of a United Nations system-wide strategy on the environment and the scope and objectives of such a strategy, as requested by member States during at the first open-ended meeting of the Committee of Permanent Representatives and at a subsequent meeting of its subcommittee, held in March and May 2014, respectively.

*UNEP/EA.1/1.

# I. Introduction

1. In accordance with the mandate of the United Nations Environment Assembly of the United Nations Environment Programme (UNEP) and the Executive Director to coordinate the environmental programmes of the United Nations system set out in General Assembly resolution 2997 (XXVII) as well as in the Nairobi Declaration on the Role and Mandate of UNEP, adopted by the Governing Council at its nineteenth session and endorsed by the Assembly in the Programme for the Further Implementation of Agenda 21 (see resolution S/19-2), and pursuant to paragraph 88 of the outcome document of the United Nations Conference on Sustainable Development, entitled "The future we want", and Governing Council decisions 27/2 and 27/5, the Executive Director intends to initiate a process for the preparation of a United Nations system-wide strategy on the environment. Such a strategy would serve as an overarching umbrella to cover the entire scope of the environment, corresponding to the role of UNEP as the principal United Nations body in the field of the environment. Under such an umbrella strategy, a number of subsets of strategies concerning specific thematic areas, each of which might be led by a different United Nations body or specialized agency, could be formulated, as called for in paragraph 88 of "The future we want".

2. At the first open-ended meeting of the Committee of Permanent Representatives and at a subsequent meeting of its subcommittee, held in March and May 2014, respectively, member States requested the Executive Director to provide additional information concerning the plan for the preparation of a United Nations system-wide strategy on the environment and the scope and objectives of such a strategy.

3. In response to those requests, the present note provides additional information on the objectives and core elements of a possible United Nations system-wide strategy on the environment and the process envisaged for preparing such a strategy.[1]

# II. Objectives and core elements

4. A United Nations system-wide strategy on the environment would ensure the coherence of relevant policies and the effective coordination of the diverse services, activities and programmes provided by the United Nations system in the field of the environment in the light of the mandate of UNEP and the outcome of the United Nations Conference on Sustainable Development. It is thus intended to strengthen the collaborative partnerships among United Nations system organizations in the field of the environment.

5. A United Nations system-wide strategy, as a framework of such collaborative partnerships, would:

(a) Set out a United Nations system-wide medium- and long-term vision in the field of the environment;

(b) Identify common and/or complementary policies and approaches concerning emerging and important environmental issues of global concern;

(c) Establish processes to coordinate the planning and execution of United Nations system activities supporting the implementation of internationally agreed environmental objectives and goals;

(d) Assess the effectiveness of United Nations system-wide activities in the above-mentioned areas.

6. A United Nations system-wide strategy would encompass a number of substrategies pertaining to specific thematic issues, some of which may already exist under the leadership of a specific United Nations body or specialized agency. It would therefore help United Nations system organizations to remove duplication and overlaps in environment-related activities and optimize the use of available resources.

7. A system-wide strategy would serve as a tool to assist the United Nations Environment Assembly in carrying out its function of providing general policy guidance for the direction and coordination of environmental programmes within the United Nations system and review the implementation of those programmes, in accordance with General Assembly resolution 2997 (XXVII).

[1] See also UNEP/EA/1/2/Add.3.

8. The system-wide strategy will be developed and implemented fully respecting the mandate and autonomy of the respective organizations of the United Nations system. Each organization, on the basis of its mandate, would continue to determine its policies and decide on its activities in the area of the environment and, in so doing, would be expected to draw upon the system-wide strategy. It is hoped that through the endorsement of a United Nations system-wide strategy by States members of the respective organizations through their governing bodies, the strategy will be integrated into their policies and programmes in the field of the environment.

9. In order to remain relevant and provide useful guidance for the United Nations system organizations, a system-wide strategy will need to set out assessment and evaluation procedures and processes for the regular updating of its priorities and approaches. In this context, such a strategy will need to be operationalized through a dynamic process of continued consultations and interactions among the United Nations system organizations.

## III. Preparatory process

10. The Executive Director will initiate a process for the preparation of a United Nations system-wide strategy in collaboration with the executive heads of all the relevant United Nations system organizations. The Environment Management Group and other relevant existing inter-agency coordination mechanisms will provide a platform for consultation among those system organizations.

11. A two-and-a-half-year process, from the second half of 2014 until the end of 2016, is currently envisaged for the preparation of a draft United Nations system-wide strategy. Throughout the process, the Executive Director will provide regular briefings to the Committee of Permanent Representatives to update it on progress made. The following steps are envisaged in the preparatory process:

(a) Information collection and system-wide mapping (data analysis, review of agencies' strategic policies and actions plans on environment, review of audits and other evaluations of the environmental activities of United Nations agencies, reporting modalities, et cetera);

(b) Inter-agency consultations through the Environment Management Group and other relevant coordination mechanisms;

(c) Liaison with other relevant United Nations inter-agency mechanisms, including UN-Water, UN-Energy and UN-Oceans, in order to identify United Nations-wide action plans and possibilities for further enhancing coherence;

(d) Provision of regular updates and progress reports to the Committee of Permanent Representatives in the course of 2014–2016;

(e) Submission of the draft strategy to senior officials of the Environment Management Group at their annual meeting in September 2015;

(f) Submission of the draft strategy to the United Nations System Chief Executives Board for Coordination and its committees, namely, the United Nations Development Group, the High-level Committee on Programmes and the High-level Committee on Management, at their respective meetings in the first half of 2016;

(g) Submission of a progress report, including the draft strategy, to the United Nations Environment Assembly for consideration at its second session, to be held in 2016;

(h) Submission of the draft strategy to the General Assembly for consideration at its seventy-first session, to be held in 2016.

12. The United Nations Environment Assembly may recommend that the General Assembly invite the governing bodies of the relevant United Nations bodies and specialized agencies to take the system-wide strategy, upon its finalization, into account in formulating and implementing their respective strategies and programmes of work related to the environment.

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# United Nations Environment Programme access-to-information policy

## Note by the secretariat

1. The United Nations Environment Programme (UNEP) access-to-information policy, established by the Executive Director in accordance with paragraph 17 of Governing Council decision 27/2, is reproduced in the annex to the present note, without formal editing. The next year will represent a pilot phase for applying the policy. During the period, consultations will be held within the UNEP secretariat with a view to sharing experiences and discussing ways to refine the policy, as well as with member States and relevant stakeholders in order to seek their views and receive relevant information based on their own experiences relating to similar policies elsewhere. As indicated in the policy, it will be reviewed within one year from the date of its establishment. On the basis of the review, the policy may be updated or revised, as necessary. It is intended that a final version of the policy will be issued by the end of June 2015.

2. The policy will apply to the information in the custody of the UNEP secretariat. Certain information generated by or held in the custody of the secretariat of a given multilateral environmental agreement relating to the operation of the agreement may be considered under the authority of the respective parties and therefore outside the scope of the policy or the disclosure of information may require the consent of the parties concerned. In this context, the policy may be implemented by the secretariats of the relevant multilateral environmental agreements, as appropriate. Where the policy may not apply to certain types of information, or where guidance from the governing body or its bureau might be necessary in the application of the policy, those secretariats are expected to advise the Executive Director accordingly.

* UNEP/EA.1/1.

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# Annex

## UNEP Access-to-Information Policy

6 June 2014

1. The Executive Director hereby establishes the United Nations Environment Programme (UNEP) Access-to-Information Policy (hereinafter referred to as the "Policy"), in accordance with paragraph 17 of Governing Council decision 27/2 of 27 February 2013.[1]

### Section I. Statement of the Policy

2. UNEP recognizes that it is critically important to disseminate and make accessible the information concerning its work or information generated though its programme as widely as possible. UNEP also recognizes that transparency, accountability, and openness can become a catalyst for achieving a greater impact. In particular in the context of Principle 10 of the Rio Declaration on Environment and Development, it is of fundamental importance to make available relevant information to stakeholders and the public in general.

3. At the same time, UNEP has an obligation to protect the confidentiality of certain information. The present Policy endeavours to strike an appropriate balance between the need to grant the public maximum access to information in the UNEP's possession, and UNEP's obligation to respect the confidentiality of information regarding its Member States, partners, employees and other parties.[2]

4. The Policy will be reviewed within one year from the date of its establishment by the Executive Director.

### Section II. Public access to information

5. The Policy is guided by openness, with the underlying presumption that UNEP allows access to any information in its possession that is not on the list of exceptions set out in Section III below. Primarily, information will be made accessible, in the available language or languages, on UNEP public website – www.unep.org.

[1] The Governing Council, in paragraph 17 of its decision 27/2, decided to enhance transparency and openness in its work and in this regard requested the Executive Director to establish a written access-to-information policy.

[2] This approach is consistent with the Secretary-General's bulletin on information sensitivity, classification and handling (ST/SGB/2007/6), which states that the work of the United Nations should be open and transparent, except insofar as the nature of information concerned is deemed confidential. The Secretary-General's bulletin is available at https://archives.un.org/sites/archives.un.org/files/ST_SGB_2007_6_eng.pdf.

6. The following is a non-exhaustive list of documents that will be made available to the public on UNEP public website:

(a) UNEP annual reports;

(b) Final form of UNEP environmental assessment reports;

(c) UNEP publications, documents and information material, including photos and videos, as defined in UNEP Publishing Policy;[3]

(d) UNEP Biennial Programmes of Work and related budgets approved by UNEP Governing Bodies;

(e) UNEP Audit Reports;

(f) UNEP Programme and Project Performance Reports;

(g) UNEP Evaluation Reports;

(h) Official documents for UNEP governing body;[4]

(i) Information on UNEP's projects, national data and reports available through the UNEP- Live website (http://www.unep.org/uneplive).

7. With regard to UNEP's projects, where relevant to the projects concerned and within the framework and available resources of such projects, UNEP will make the following information available in a timely manner, in a place accessible to key stakeholders, including project affected groups and civil society organizations, in a form and language understandable to them:

(a) Draft environmental and social impact assessments;

(b) Documentation of the consultation process;

(c) Draft mitigation plan.

## Section III. Exceptions

8. UNEP does not provide access to information whose disclosure could, in UNEP's opinion, cause harm to specific parties or interests. Accordingly, UNEP does not provide access to documents that contain or refer to the information listed in paragraphs 9-15.

9. Information received from or sent to third parties, under an expectation of confidentiality. UNEP does not provide access to financial, business, proprietary, or other non-public information that it receives in, or with the expectation that it will be treated in, confidence. UNEP does not grant access to information provided to it by a Member State or a third party, on the understanding of confidentiality, without the express permission of that Member State or third party. This includes information, data, reports and analysis, deliberations, and any other work product generated as a result

[3] UNEP expects users to comply with the conditions of use set out in the disclaimers included in all UNEP publications made available to the public.

[4] Documents produced by the UNEP secretariat for general distribution. Documents or proposals under deliberation by Member States remain in the custody of Member States concerned and under their control, and as such, those deliberative documents or proposals are not considered official documents, unless the Member States concerned request the secretariat to publish them as official documents.

of, or in response to, the confidential information received from a Member State or third party under an expectation of privacy. Material held by UNEP in which other parties hold the copyright may be made available for review, but copying or distributing such material is limited to respect the rights of the copyright holder.

10. Information whose disclosure is likely to endanger the safety or security of any individual, violates his or her rights, or invades his or her privacy. In particular, UNEP does not provide access to:

(a) Information whose disclosure would, or would likely compromise the security of UNEP staff and their families, consultants, contractors, other individuals, and UNEP assets;

(b) Information about logistical and transport arrangements related to staff travel schedules, UNEP's shipments of assets and documents and the shipment of staff's and consultants' personal effects;

(c) Information whose disclosure would, or would likely endanger the life, or safety of any individual, or the environment;

(d) Personal information relating to staff and consultants whose disclosure would, or would likely compromise the rights and legitimate privacy interests of the person concerned. This includes, among others, terms of employment, performance evaluations, personal medical information, information relating to staff appointment and selection process, and personal communications.

11. Information whose disclosure is likely to endanger the security of Member States or prejudice the security or proper conduct of any operation or activity of UNEP. UNEP does not provide access to any information that if disclosed would or would likely prejudice an investigation or the administration of justice or violate the applicable law. This includes privileged information (e.g. legal advice and correspondence with legal advisers), and information that, if disclosed, might prejudice an investigation, legal or regulatory proceedings, subject UNEP to an undue risk in any contested matter (e.g. litigation or arbitration), subject UNEP to unauthorized access to its information technology systems, or aid the requester(s) or any other third party in impersonating UN personnel for fraudulent purposes.

12. Information covered by legal privilege or related to access to individual investigation cases. Requests for confidentiality by complainant or witnesses will be honoured to the extent possible within the legitimate needs of the investigation.

13. Information on UNEP's own internal deliberations, communications and UNEP deliberations with Member States or other entities with which UNEP cooperates. UNEP does not provide access to information whose disclosure would, or would likely frustrate the success of a policy or deliberative process; seriously prejudice the work of UNEP; undermine the integrity of UNEP's decision-making process; or inhibit the free and frank provision of advice and exchange of views. This includes, among others, internal inter-office or intra-office documents, emails, drafts and other relevant correspondence if the record contains:

(a) An opinion, advice, report or recommendation;

(b) An account of a consultation, discussion or deliberation that has occurred, including, but not limited to, e-mails, notes, letters, memoranda, and draft documents or any other document prepared during the course of its own internal deliberations and deliberations with Member States or other entities with which UNEP cooperates.

14. Commercial information where disclosure would harm either the financial interests of UNEP or those of third parties involved. UNEP does not provide access to financial, commercial, scientific or technical information that may, in UNEP's sole opinion or as a result of a confidentiality restriction, if disclosed:

(a) Cause harm to UNEP or a third party's commercial and financial interests;

(b) Put a third party at disadvantage in contractual or other negotiations;

(c) Prejudice a third party in commercial competition.

15. Information which, if disclosed, in UNEP's view would seriously undermine the policy dialogue with Member States or other partners. UNEP does not provide access to any documents, memoranda, or other communications which are exchanged with Member States, with other organizations and agencies, where these relate to the exchange of ideas between these groups, or to the deliberative or decision-making process of UNEP, its Member States, or other organizations, agencies or entities with whom it cooperates.

16. UNEP reserves the right, under extraordinary circumstances (for instance when the life or security of a staff member is under imminent threat), to disclose certain information covered in the list of exceptions set out in the paragraphs above, if UNEP determines that the overall benefits of such disclosure outweigh the potential harm to the interests protected by the exceptions, or to restrict access to information that it normally discloses if it determines that such disclosure is likely to cause harm that outweighs the benefits of disclosure. The disclosure of information provided to UNEP by a Government or a third party in confidence requires the written consent of the Government or the third party concerned. This right may be exercised only with the approval of the Executive Director.

## Section IV. Request for information

17. Information that is not available on UNEP public website may be made available upon request. For UNEP's internal tracking purposes, such requests should quote the following language: "Under UNEP's Access-to-Information Policy, I am requesting information on....". The request should be directed to:

Access-to-Information Desk
Division of Communications and Public Information
United Nations Environment Programme
Address: P.O. Box 30552, Nairobi 00100, Kenya
Phone: +254 20 7621234
Email: unepinfo@unep.org

Information requests may be handled directly by the Access-to-Information Desk, or subsequently by the head of the relevant Division or office.

18. Regarding request for information that may be considered an exception under Section III of the Policy, the officer concerned should seek guidance from Senior Legal Officer/Office for Operations and Corporate Services on handling of such requests.

19. All Information requests should be handled promptly. The requestor should expect to receive an acknowledgement of receipt of the request within ten (10) working days. Depending on the complexity of the request, UNEP will endeavour to handle all requests within sixty (60) calendar days after the acknowledgment of receipt is sent. For information requests that involve the reproduction of material, UNEP may charge a fee for material and labor cost, which will be communicated to the requestor and will need to be paid in advance.

20. UNEP may partially or wholly deny a request, as follows:

(a) In accordance with the limitations set out or referred to in this Policy;

(b) If the request is deemed by UNEP to be an excessive demand upon UNEP's resources; or

(c) If the request, in the judgment of UNEP, appears to be frivolous. In such case, UNEP's response may only be signed by a Division Director.

## Section V. Review and appeal process

21. If a request of information is denied, the requestor may seek the review of the decision by addressing a letter to UNEP Access to Information Panel (hereinafter the "Panel"), providing reasons for the appeal. Every request for appeals will be acknowledged. The Panel will review the denial of requests to disclose a document or portion of a document to a member of the public.

22. If an agreeable solution is not forthcoming within the Panel, the Panel will make recommendations to the Executive Director on the outcome that would be most consistent with the application of the Policy. The Executive Director will have the authority to take a final decision concerning the request for information in question.

23. That review should normally be completed within sixty (60) working days of being requested. The outcome of the review will be communicated to the requestor and there will be no requirement for providing a detailed explanation of the outcome of the review.

## Section VI. Access-to-Information Panel

24. The Panel's mandate is to assist the Executive Director in monitoring the implementation of the Policy and to consider and review appeals relating to a request for information.

25. The Panel's primary function is to review appeals submitted to it and to determine whether the Policy has been properly applied. Determinations shall be guided by the principle of seeking amicable solutions in the context of the request and the parties who may be affected by the release of the information.

26. The Panel may also develop, as appropriate, more detailed mechanisms and procedures for the review of denied requests, review the implementation of the Policy and provide recommendations on changes which should be made, as well as re-examine the Policy on a regular basis in light of operational and other changes within UNEP.

27. The Panel consists of seven UNEP professional staff members, all appointed by the Executive Director. The Panel may deliberate with a quorum of four members. The Chair of the Panel will be selected from amongst, and by, the Panel members. Members will serve for a term of two years, which may be extended for another term at the discretion of the Executive Director.

28. Members of the Panel will be selected on the basis of the following criteria: in-depth knowledge and thorough understanding of UNEP policies, structures, programmes and operations at Headquarters, Regional and Sub-regional or Country Office levels; thorough knowledge of, and familiarity with, information disclosure and access to information policies; and proven ability to work with UNEP partners.

29. The Panel will meet virtually or in situ whenever there is an appeal for review. The Panel may also meet to consider policy matters related to the Policy and its application, as necessary.

30. Division of Communications and Public Information will serve as the Secretariat to the Panel.

(*Signed*) Achim **Steiner**
Executive Director

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**Budget and programme of work for the biennium 2016–2017 and the Environment Fund and other budgetary matters**

# Changes to the programme of work and budget for the biennium 2014-2015

## Note by the Executive Director**

*Summary*

The annexes to the present note summarize the changes introduced to the programme of work and budget for the biennium 2014-2015, subsequent to its approval by the Governing Council in February 2013. The changes are attributable in the most part to the approval by the General Assembly in December 2013 of a United Nations regular budget appropriation to the United Nations Environment Programme of $35 million and 95 posts, which was at a level lower than that requested by the Secretary-General. The revised programme of work also includes changes to the strategic framework for 2014-2015 decided upon by the Committee on Programme and Coordination in 2013.

* UNEP/EA.1/1.

** Issued without formal editing.

1. Governing Council Decision 27/13 on the medium-term strategy for the period 2014–2017 and biennial programme of work and budget for 2014-2015 requested the Executive Director to submit a report to the governing body of the United Nations Environment Programme at its next session on the programme of work and budget for the biennium 2014-2015, taking into account the latest information on funding and projected expenditures.

2. The present note provides a summary of the changes introduced to the programme of work and budget for the biennium 2014-2015, subsequent to its approval by the Governing Council in February 2013. The changes are mostly attributable to the General Assembly approval in December 2013 of a United Nations regular budget appropriation to UNEP of US $35 million, and 95 posts, which was a lower level than had been requested by the United Nations Secretary General, at US$ 47.7 million and 133 positions, respectively, as reflected in the budget originally submitted to the Governing Council. The revised programme of work also includes changes to the strategic framework for 2014-2015 decided by the Committee on Programme and Coordination in 2013, mostly to the disasters and conflicts subprogramme. It is imperative that the wording of the programme of work be consistent with that of the strategic framework.

3. The total budget therefore for UNEP's programme of work from all funding sources is therefore US $619 million in comparison to that in the programme of work tentatively approved by the Governing Council in 2013, of US $632 million, a decrease of 12.7 million, attributable to the level of appropriation of United Nations regular budget resources to UNEP as described above.

4. Total staffing levels were also reduced from 854 to 828 reflecting the decrease in regular budget funded positions, in part compensated by an increase in Environment Fund staffing numbers from 450 to 462 to enable UNEP to continue mission-critical positions in its regional offices, while maintaining the $122 million ceiling for staffing costs from the Environment Fund decided by the Governing Council. The table below summarizes these changes.

**Implications of the regular budget of the United Nations to UNEP on the Programme of Work**

| | *Initial PoW (approved GC 27) (thousands of US$)* | *Revised (thousands of US$)* | *Comments* |
|---|---|---|---|
| Total Budget | 631 825 | 619 064 | Decreased by US$ 12.76m |
| Total Staffing Levels | 854 | 828 | Decreased by 26 |
| Regular Budget of the United Nations | 47 725 | 34 964 | General Assembly approved |
| Regular Budget staffing levels | 133 | 95 | 47 additional posts (new and conversions): General Assembly approved |
| Environment Fund staffing budget | 119 074 | 121 874 | |
| Environment Fund staffing levels | 450 | 462 | Added back 12 Positions to cover functions that are critical to the PoW and were not approved for RB funding |
| GEF | 113 900 | 113 900 | No Change |
| Trust funds and earmarked | 202 000 | 202 000 | No Change |

5. For the servicing of the United Nations Environment Assembly and subsidiary bodies, the revised Programme of Work re-integrates in the Environment Fund budget, the position of head of the Secretariat for Governing Bodies and Stakeholders and a few existing support staff. These were positions initially planned to shift to the regular budget, as well as tickets and DSA for developing countries to attend the respective meetings of the Open-Ended meeting of the Committee of Permanent Representatives as well as the United Nations Environment Assembly of UNEP itself. The additional costs of developing countries participation, conferences services and associated costs (based on UNON calculations) for the 2014 sessions are $1.5 million above the total previous allocations for the biennium. For the most part, these expenditures needed to be budgeted from the Environment Fund, complemented by generous but still modest voluntary contributions by a handful of donors to help cover the costs of participation of developing country representatives.

6. At the time of submission of the 2014-2015 draft programme of work and budget to the Governing Council session of February 2013, it was expected that most of these costs would be covered by the regular budget of the United Nations through a supplementary budget request. Pending approval of the rules of procedure of the United Nations Environment Assembly of UNEP, the request was not put forward to the General Assembly.

7. The changes in the table above for the regular budget of the United Nations and the Environment Fund have been explained in the narrative sections "implications for the regular budget of the United Nations" and "implications for the Environment Fund"' in the narrative of the programme of work. The CPR at its open ended session in March 2014 had also requested additional information on efficiency measures taken to reduce costs and reduce exposure to risk; information on this front is provided in the section on 'accompanying measures' to show how UNEP is better supporting operations and budget execution with appropriate efficiency and other supporting measures. The 'overall budget' section summarizes these sections. The budget tables have been accordingly revised to reflect the changes summarized above.

8. Given the changes in the regular budget of the United Nations to UNEP, the revised programme of work includes changes to indicator targets for some of the subprogrammes. Changes were not even across subprogrammes as they were a result of examining the following:

(a) The extent to which the regular budget changes affected the results in a given subprogramme based on its level of dependency of funding from the regular budget;

(b) The reduction in post and activity budget approvals by the General Assembly as compared to the Secretary General's request, which did not evenly affect all subprogrammes;

(c) The possibility of changing Environment Fund allocations across subprogrammes;

(d) The possibility of mobilizing additional extrabudgetary resources to make up the shortfall from the regular budget of the United Nations for each subprogramme. This would determine whether the level of ambition can still be realized from mobilizing extrabudgetary funds;

(e) The possibility of changing the level of ambition of results in each subprogramme where other options did not seem the most effective approach.

9. Thus, for some subprogrammes, the indicator target does not change while in others it does. The indicator targets were also adjusted to ensure that baselines were updated given the last reporting data as of December 2013. Annex I provides a summary of the changes made to the results framework. Annex II shows the actual allocations of the regular budget of the United Nations to UNEP for the biennium 2014-2015 in comparison to the budget for the biennium 2012-2013.

10. Some adjustments were made to the document to reflect recent executive decisions regarding in particular changes within the organization structure taken by the Executive Director within the scope of his authority, in particular the abolition of the Division for Regional Coordination and the establishment of the Regional Support Office, which affects accountability of Divisions and Regional Offices in delivering the programme of work. The CPR subcommittee requested the UNEP Secretariat to show how the accountability for delivery of the programme of work changes with the change in structure of DRC and the establishment of the Regional Support Office and more direct engagement between Regional Offices in UNEP and the technical Divisions. The changes in accountability primarily include technical Divisions accountable for delivery of results with Regional Offices playing a major role in regional delivery and thus noted as contributing offices of UNEP for many outputs in the programme of work. This change in structure is summarized in the Executive Direction and Management section of the revised version of the programme of work.

11. Finally, there are a few changes requested by members of the subcommittee of the CPR at its various meetings, as well as at the Open-Ended meeting of the CPR in 2014. For instance, there was a request for information on partner institutions within the United Nations, which has been introduced in the text. Illustrations of partners have been noted in the overall orientation section of the programme of work.

12. Following observations by the CPR subcommittee, the presentation of the budget was also slightly modified. In particular, in table 2 of the revised programme of work, programme support costs are shown as part of the contributions from trust funds to individual subprogrammes of the programme of work, rather than consolidated with other support costs in the programme management and support category. While the overall amounts did not change, this approach is consistent with the presentation from the previous biennium. It thus facilitates comparison with the previous biennium reading and understanding of the resources actually dedicated to the programme of work itself.

# Annex I

## Rationale for changes to indicator targets

### Subprogramme 1
### Climate change

| Expected accomplishments | Indicators of achievement | Original PoW 2014-2015 | Revised PoW 2014-2015 | Rationale for Change |
|---|---|---|---|---|
| (a) Ecosystem-based and supporting adaptation approaches implemented and integrated into key sectoral and national development strategies to reduce vulnerability and strengthen resilience to climate change impacts | (a) (i) Increase in the number of countries implementing ecosystem-based and other supporting adaptation approaches as a result of UNEP support | December 2011 (baseline): 14 countries<br>December 2013 (estimate): 22<br>Progress expected as at December 2014: 25<br>December 2015 (target): 28 | No change | As the level of ambition of the mitigation portfolio (Eab) was already high, the level of ambition could be reduced instead of changing the level of Environment Fund and Extrabudgetary resources planned for the subprogramme. Therefore, the mitigation work under this EA was impacted by the regular budget reduction as funding for mitigation activities from the Environment Fund will be used to pay for regular budget funded posts in regional offices, instead of impacting funding for activities for adaptation or REDD+. |
| | (ii) Increase in number of countries incorporating ecosystem-based and supporting adaptation approaches in key sectoral and development plans with the assistance of UNEP | December 2011 (baseline):<br>4 countries<br>December 2013 (estimate):8<br>Progress expected as at December 2014:12<br>December 2015 (target): 16 | | |
| (b) Energy efficiency improved and the use of renewable energy increased in partner countries to help reduce greenhouse gas emissions and other pollutants as part of their low-emission development pathways | (b) (i) Increase in number of countries implementing new renewable energy and/or energy efficiency initiatives with the assistance of UNEP | December 2011 (baseline): 4<br>December 2013 (estimate):12<br>Progress expected as at December 2014: 20<br>December 2015 (target): 35 | Reductions in targets as follows:<br>December 2011 (baseline): 4<br>December 2013 (estimate):12<br>Progress expected as at December 2014: 18<br>December 2015 (target): 32 | |
| | (ii) Increase in number of finance institutions demonstrating commitment of resources to clean technology investments as a result of UNEP's supports | December 2011 (baseline): 20<br>December 2013 (estimate): 40<br>Progress expected as at December 2014: 50<br>December 2015 (target): 60 | December 2011 (baseline): 20<br>December 2013 (estimate): 40<br>Progress expected as at December 2014: 47<br>December 2015 (target): 55 | |
| (c) Transformative REDD-plus strategies and finance approaches developed and implemented by developing countries with the aim of reducing emissions from deforestation and forest degradation and bringing multiple benefits for biodiversity and livelihoods | (c) (i) Increase in number of countries adopting and implementing REDD-plus strategies incorporating multiple benefits with the assistance of UNEP | December 2011 (baseline): 4 countries<br>December 2013 (estimate): 7<br>Progress expected by December 2014: 12<br>December 2015: 15 | No change | |

## Subprogramme 2
## Disasters and conflicts

| Expected accomplishments | Indicators of achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (a) The capacity of countries to use natural resource and environmental management to prevent and reduce the risk of natural and man-made disasters is improved | (a) (i) Increase in the percentage of countries vulnerable to natural and man-made disasters that progress at least two steps in the country capacity framework for natural resource and environmental management | December 2011 (baseline): 75 per cent of countries assisted by UNEP since January 2010<br>December 2013 (estimate): 90 per cent of countries assisted by UNEP since January 2010<br>Progress expected by December 2014: 95 per cent<br>Progress expected by December 2015: 100 per cent | No Change | This subprogramme has traditionally relied on Extrabudgetary resources. The Environment Fund budget in this biennium increases the stability of work in this subprogramme, while aiming for results at the level planned with the additional use of extrabudgetary funds. Changing funding allocations from the Environment Fund would reduce the stability of the subprogramme and undermine the planning considerations originally made from the Environment Fund for this subprogramme. It is foreseen that the subprogramme will aim to mobilize funds to meet the resource gap between the planned regular budget and the actual approved budget (approximately $1 million) |
| | (a) (ii) Increase in the number of United Nations policies, guidelines, programmes and training courses on crisis risk reduction that integrate best practice in the sustainable management of natural resources in fragile States and vulnerable regions, based on UNEP reports and inputs | December 2011 (baseline): 10<br>December 2013 (estimate): 15<br>Progress expected by December 2014: 17<br>Progress expected by December 2015: 20 | | |
| (b) The capacity of countries to use natural resource and environmental management to support sustainable recovery from natural and man-made disasters is improved | (b)Increase in the percentage of countries affected by natural and man-made disasters that progress at least two steps in the country capacity framework for natural resource and environmental management | December 2011 (baseline): 75 per cent of countries assisted by UNEP since January 2010<br>December 2013 (estimate): 90 per cent of countries assisted by UNEP since January 2010<br>Progress expected by December 2014: 95 per cent<br>Progress expected by December 2015: 100 per cent | No change | |

## Subprogramme 3
## Ecosystem management

| Expected accomplishments | Indicators of achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (a) Use of the ecosystem approach in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased | (a) (i) Increase in the number of countries integrating the ecosystem approach with traditional sector-based natural resource management. | December 2011 (baseline): 13<br>December 2013 (estimate): 16<br>Progress expected by December 2014: 20<br>December 2015 (target): 24 | No change | No change was foreseen in the results targeted as the aim is to secure extrabudgetary resources to make up the resource gap between the planned regular budget with actual budget (approximately $1.2 million). |
| (b) Use of the ecosystem approach in countries to sustain ecosystem services from coastal and marine systems is increased | (b) (i) Increase in the number of countries using the ecosystem approach to sustain ecosystem services from coastal and marine systems. | December 2011 (baseline): 7<br>December 2013 (estimate): 7<br>Progress expected by December 2014: 12<br>December 2015 (target): 16 | No Change | |
| (c) Services and benefits derived from ecosystems are integrated with development planning and accounting, particularly in relation to wider landscapes and seascapes and the implementation of biodiversity- and ecosystem-related multilateral environmental initiatives | (c) (i) Increase in the number of countries that integrate the ecosystem approach in development planning. | December 2011 (baseline): 7<br>December 2013 (estimate): 7<br>Progress expected by December2014: 10December 2015 (target): 13 | No Change | |
| | (c) (ii) Increase in the number of countries that integrate priority ecosystem services into their national accounting and budgeting processes. | December 2011 (baseline): 1<br>December 2013 (estimate): 3<br>Progress expected by December 2014: 5<br>December 2015 (target): 7 | | |

## Subprogramme 4
## Environmental governance

| Expected accomplishments | Indicators of achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (a) The United Nations system and multilateral environmental agreement bodies, respecting the mandate of each entity, demonstrate increasing coherence and synergy of action on environmental issues | (a) (i) Increase in the number of joint initiatives to handle environmental issues in a coordinated manner across the United Nations system and by multilateral environmental agreement bodies | December 2011 (baseline): 8<br>December 2013 (estimate baseline): 11Progress expected by December 2014: 13<br>December 2015 (target): 16 | Reduction in Indicator targets as follows:<br>December 2011 (baseline): 8<br>December 2013 (estimate baseline): 11 Progress expected by December 2014: 12<br>December 2015 (target): 15 | Reductions in indicator targets are a result of the reduction in regular budget resources of the United Nations. It should be noted that baseline data changed to reflect more recent data |
| | (a) (ii) Increase in the number of collaborative arrangements with the secretariats of selected multilateral environmental agreements which result in increased coherence and synergy between the UNEP programme of work and the programme of work of those agreements | December 2011 (baseline): 25<br>December 2013 (estimate baseline): 27<br>Progress expected by December 2014: 30<br>December 2015 (target): 33 | December 2011 (baseline): 25<br>December 2013 (estimate baseline): 27<br>Progress expected by December 2014: 29<br>December 2015 (target): 32 | |
| (b) The capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals, and to comply with related obligations is enhanced | (b) (i) Increase in the number of legal and institutional measures taken by countries to improve the implementation of internationally agreed environmental goals and objectives | December 2011 (baseline): 0<br>December 2013 (estimate baseline): 0<br>Progress expected by December 2014: 10<br>December 2015 (target): 20 | December 2011 (baseline): 0<br>December 2013 (estimate baseline): 0<br>Progress expected by December 2014: 9<br>December 2015 (target): 18 | |
| | (b) (ii)Increase in the number of initiatives taken by countries to monitor and achieve compliance with, and enforcement of, international environmental obligations | December 2011 (baseline): not applicable<br>December 2013 (estimate baseline): 2<br>Progress expected by December 2014: 3<br>December 2015 (target): 4 | No Change | |
| | (b) (iii) Increase in the number of initiatives and partnerships of major groups and stakeholders in support of the development and implementation of national and international environmental law | December 2011 (baseline): not applicable<br>December 2013 (estimate baseline): 3<br>Progress expected by December 2014: 4<br>December 2015 (target): 5 | No Change | |

| Expected accomplishments | Indicators of achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (c) Countries increasingly mainstream environmental sustainability in national and regional development policies and plans | (c) (i) Increase in the number of national development plans and UNDAFs in targeted countries that incorporate the principles of environmental sustainability with the assistance of UNEP and the joint UNDP-UNEP PEI | December 2011 (baseline): 52<br>December 2013 (estimate baseline): 62<br>Progress expected by December 2014: 77<br>December 2015 (target): 87 | Reductions in indicator targets as follows: December 2011 (baseline): 52<br>December 2013 (estimate baseline): 62<br>Progress expected by December 2014: 76<br>December 2015 (target): 85 | |
| | (c) (ii) Increase in the number of policies and plans from subregional and regional forums that incorporate the principles of environmental sustainability | December 2011 (baseline): 23<br>December 2013 (estimate baseline): 27<br>Progress expected by December 2014: 33<br>December 2015 (target): 44 | No change | |
| | (c) (ii) Increase in the number of policies and plans from subregional and regional forums that incorporate the principles of environmental sustainability | December 2011 (baseline): not applicable<br>December 2013 (estimate baseline): 5<br>Progress expected by December 2014: 11<br>December 2015 (target): 17 | December 2011 (baseline): not applicable<br>December 2013 (estimate baseline): 5<br>Progress expected by December 2014: 9<br>December 2015 (target): 12 | |

## Subprogramme 5
## Harmful Substances and Hazardous Waste

| Expected Accomplishment | Indicator of Achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (a) Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste in a sound manner, including the implementation of related provisions in the multilateral environmental agreements | (a) (i) Increase in the number of countries reporting the adoption of policies for the sound management of chemicals and waste | December 2011 (baseline): 103<br>December 2013 (estimate): 110<br>December 2014 (estimate): 117<br>December 2015 (target): 125 | December 2011 (baseline): 162<br>December 2013 (estimate): 171<br>December 2014 (estimate): 178<br>December 2015 (target): 185 | Reductions in indicator targets were foreseen as a result of the reduction in regular budget resources of the United Nations. It should be noted that baseline data changed to reflect more recent data. |
| | (a) (ii) Increase in the number of countries reporting the use of economic and market-based incentives, business policies and practices that promote the sound management of chemicals and waste | December 2011 (baseline): 49<br>December 2013 (estimate): 55<br>December 2014 (estimate): 60<br>December 2015 (target): 65 | December 2011 (baseline): 49<br>December 2013 (estimate): 49 (based on performance info)<br>December 2014 (estimate): 53<br>December 2015 (target): 57 | |
| | (a) (iii) Increase in the number of countries reporting the use of industry reporting schemes that promote take-up of the sound management of chemicals and waste | December 2011 (baseline): not applicable (new indicator)<br>December 2013 (estimate): 25<br>December 2014 (estimate): 27<br>December 2015 (target): 30 | December 2011 (baseline): not applicable (new indicator)<br>December 2013 (estimate): 25<br>December 2014 (estimate): 27<br>December 2015 (target): 29 | |
| (b) Countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and related multilateral environmental agreements | (b) (i) Increase in the number of Governments addressing priority chemical issues, including their obligations under the chemicals MEAs, through the use of risk assessment and management tools provided by UNEP | December 2011 (baseline): 40<br>December 2013 (estimate): 72<br>December 2014 (estimate): 80<br>December 2015 (target): 90 | No change | |
| | (b) (ii) Increase in the number of businesses and industries addressing priority chemical issues through the use of risk assessment and management tools provided by UNEP | December 2011 (baseline): 52<br>December 2013 (estimate): 65<br>December 2014 (estimate): 70<br>December 2015 (target): 80 | Reductions in other indicator targets as follows:<br>December 2011 (baseline): 52<br>December 2013 (estimate): 65<br>December 2014 (estimate): 70<br>December 2015 (target): 77 | |
| | (b) (iii) Increase in the number of civil society organizations addressing priority chemical issues under the chemicals MEAs through the use of risk assessment and management tools provided by UNEP | December 2011 (baseline): 58<br>December 2013 (estimate): 70<br>December 2014 (estimate): 80<br>December 2015 (target): 90 | December 2011 (baseline): 58<br>December 2013 (estimate): 70<br>December 2014 (estimate): 79<br>December 2015 (target): 88 | |

| Expected Accomplishment | Indicator of Achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (c) Countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound waste management and related multilateral environmental agreements | (c) (i)Increase in the number of Governments addressing priority waste issues, including their obligations under the related MEAs, through the use of tools and methodologies provided by UNEP | December 2011 (baseline): 10<br>December 2013 (estimate): 15<br>December 2014 (estimate): 20<br>December 2015 (target): 25 | No change | |
| | (c) (ii)Increase in the number of businesses and industries addressing priority waste issues through the use of tools and methodologies provided by UNEP | December 2011 (baseline): 10<br>December 2013 (estimate): 15<br>December 2014 (estimate): 22<br>December 2015 (target): 30 | Reductions in indicator targets as follows:<br>December 2011 (baseline): 10<br>December 2013 (estimate): 15<br>December 2014 (estimate): 21<br>December 2015 (target): 27 | |
| | (c) (iii)Increase in the number of civil society organizations addressing priority waste issues under the waste-related MEAs through the use of risk assessment and management tools provided by UNEP | December 2011 (baseline): 8<br>December 2013 (estimate): 18<br>December 2014 (estimate): 25<br>December 2015 (target): 30 | December 2011 (baseline): 8<br>December 2013 (estimate): 18<br>December 2014 (estimate): 22<br>December 2015 (target): 26 | |

## Subprogramme 6. Resource efficiency and Sustainable Consumption and Production

| Expected Accomplishment | Indicator of Achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (a) Cross-sectoral scientific assessments, research and tools for sustainable consumption and production and for the green economy are developed, shared and applied by policymakers, including in urban practices within the context of sustainable development and poverty eradication | (a) (i) Increase in the number of cities and countries that develop and integrate into policies, within the context of sustainable development and poverty eradication, the green economy and sustainable consumption and production approaches and tools | December 2011 (baseline): 10<br>December 2013 (estimate): 20<br>Progress expected by December 2014: 25<br>December2015 (target): 45 (i.e. +17 compared to December 2013) | December 2011 (baseline): 10<br>December 2013 (estimate): 21<br>Progress expected by December 2014: 25<br>December2015 (target): 38 (i.e. +17 compared to December 2013) | Reductions in indicator targets were foreseen as a result of the reduction in regular budget resources of the United Nations. It should be noted that baseline data changed to reflect more recent data. |
| | (a) (ii) Increase in the number of references to UNEP assessments and reports in documents by Governments, companies and academics. | December 2011 (baseline): 0 references<br>December 2013 (estimate): 8 references<br>Progress expected by December 2014: 11 references<br>December 2015 (target): 20 references | December 2011 (baseline): 0 references<br>December 2013 (estimate): 120 references<br>Progress expected by December 2014: 135 references<br>December 2015 (target): 150 references (i.e. +30 compared to Dec 2013) | |
| (b) Uptake of sustainable consumption and production and green economy instruments and management practices in sectoral policies, business and financial operations across global supply chains is increased, in the context of sustainable development and poverty eradication | (b) (ii) Increase in the number of stakeholders reporting improved management practices and adoption of more resource-efficient tools and instruments in sectoral policies | December 2011 (baseline): 60<br>December 2013 (estimate): 70<br>Progress expected by December 2014: 100<br>December 2015 (target): 200 | December 2011 (baseline): 60<br>December 2013 (estimate): 82<br>Progress expected by December 2014: 100<br>December 2015 (target): 177 (i.e. +95 compared to Dec 2013) | |
| (c) Enabling conditions for promoting more sustainable consumption choices and lifestyles are enhanced | (c) (i) Increase in the number of public institutions and private sector organizations that develop and implement policies and measures conducive to more sustainable consumption patterns | December 2011 (baseline): 20<br>December 2013 (estimate): 40<br>Progress expected by December 2014: 50<br>December 2015 (target): 70 | December 2011 (baseline): 20<br>December 2013 (estimate): 59<br>Progress expected by December 2014: 67<br>December 2015 (target): 82 (i.e. +23 compared to Dec 2013) | |
| | (c) (ii) Increase in the number of projects initiated by stakeholders to promote more sustainable lifestyles that are catalysed by UNEP | December 2011 (baseline): 0<br>December 2013 (estimate): 10<br>Progress expected by December 2014: 20<br>December 2015 (target): 35 | December 2011 (baseline): 0<br>December 2013 (estimate): 10<br>Progress expected by December 2014: 18<br>December 2015 (target): 28 (i.e. +18 compared to Dec 2013) | |

## Subprogramme 7
## Environment under review

| Expected Accomplishment | Indicator of Achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| (a) Global, regional and national policymaking is facilitated by environmental information made available on open platforms | (a) (i) Increase in the number of United Nations agencies and MEAs using data on environmental trends identified through UNEP to influence policy | December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 8<br>December 2015 (target): 10 | December 2011 (baseline): 0<br>December 2013 (estimate): 5<br>Progress expected by December 2014: 7<br>December 2015 (target): 9 | Reductions in indicator targets are a result of the reduction in regular budget resources of the United Nations. It should be noted that baseline data changed to reflect more recent data |
| | (a)(ii)Increase in the number of national, regional and global forums and institutions using data on environmental trends identified through UNEP to influence policy | December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 25<br>December 2015 (target): 30 | December 2011 (baseline): 0<br>December 2013 (estimate): 20<br>Progress expected by December 2014: 25<br>December 2015 (target): 30 | |
| b) Global, regional and national assessment processes and policy planning are informed by emerging environmental issues | (b) (i) Increase in the number of stakeholders surveyed that acknowledge the uptake of scenarios and early warning on emerging environmental issues in their assessment and policy development processes | December 2011 (baseline): 0<br>December 2013 (estimate): 3<br>Progress expected by December 2014: 7<br>December 2015 (target): 10 | No change | |
| | (b) (ii) Number of registered participants in organizations for children and young people, sports organizations and World Environment Day that undertake activities on the UNEP website or report through UNEP networks as a result of targeted messaging on emerging environmental issues | December 2011 (baseline): 4,000<br>December 2013 (estimate): 4,400<br>Progress expected by December 2014: 5,000 | Indicator targets were corrected from original data based on more accurate baselines<br>December 2011 (baseline): 225<br>December 2013 (estimate): 230<br>Progress expected by December 2014: 250 | |
| (c) The capacity of countries to generate, access, analyse, use and communicate environmental information and knowledge is enhanced | (c) (i) Increase in the number of countries that take the lead in generating, analysing, managing and using environmental information in comparable formats and making such information and knowledge available to the public and policymakers | December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 2<br>December 2015 (target): 7<br>December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 5<br>December 2015 (target): 7 | December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 2<br>December 2015 (target): 5<br>December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by | |

| Expected Accomplishment | Indicator of Achievement | Original PoW | Revised PoW | Rationale for Change |
|---|---|---|---|---|
| | (c) (ii) Increase in the number of countries making available credible, nationally generated data and providing access to country-specific environmental information in comparable formats on public platforms | December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 30<br>December 2015 (target): 50 | December 2014: 3<br>December 2015 (target): 5<br>December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 20<br>December 2015 (target): 35 | |
| | (c) (iii) Increased number of major groups and stakeholders surveyed that acknowledge their involvement in the generation of, access to and use of environmental information available on public platforms | December 2011 (baseline): 0<br>December 2013 (estimate): 0<br>Progress expected by December 2014: 4<br>December 2015 (target): 5 | December 2011 (baseline): 0<br>December 2013 (estimate): 2<br>Progress expected by December 2014: 3<br>December 2015 (target): 4 | |
| | (c) (iv) Increase in the number of major UNEP publications in languages other than English made accessible through UNEP-developed online platforms. | | | |

## Annex II

### Comparison of the actual regular budget of the United Nations with UNEP for the bienniums 2012-2013 and 2014-2015

| *Component* | *2012-2013 Budget* | *% 2012-2013 Budget* | *2014-2015 GA Approved Final* | *% 2014-15 GA Approved Final* |
|---|---|---|---|---|
| a | b | c | f | g |
| A. Policymaking organs | 87.0 | 0.6% | 96.4 | 0.3% |
| B. Executive direction and management | 4,933.0 | 34.8% | 7,675.7 | 22.0% |
| **Subtotal B** | **5,020.0** | **35.4%** | **7,772.1** | **22.2%** |
| C. Programme of work | | | | |
| 1. Climate change | 1,064.8 | 7.5% | 3,105.2 | 8.9% |
| 2. Disasters and conflicts | 493.6 | 3.5% | 2,165.4 | 6.2% |
| 3. Ecosystems management | 1,935.9 | 13.7% | 4,012.0 | 11.5% |
| 4. Environmental governance | 3,605.2 | 25.4% | 6,512.0 | 18.6% |
| 5. Chemicals and waste | 438.8 | 3.1% | 2,503.0 | 7.2% |
| 6. Resource efficiency | 433.9 | 3.1% | 2,846.8 | 8.1% |
| 7. Environment under review | - | N/A | 4,033.6 | 11.5% |
| **Subtotal B** | **7,972.2** | **56.2%** | **25,178.0** | **72.0%** |
| D. Programme support | 1,189.6 | 8.4% | 2,013.4 | 5.8% |
| **Total** | **14,181.8** | **100.0%** | **34,963.5** | **100.0%** |